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Attorney Docket No. ICOR-004

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application Serial No: 10/014,864

Filed: December 11, 2001

Title: Method and System for Requesting Prices for
Electronic Trading of Financial Investments

Inventors: Tari, Michael, et al.

Commissioner of Patents and Trademarks
Washington, D.C. 20231

PETITION UNDER 37 C.F.R. 1.47(a)

Dear Sir:

The applicants, Angelo Toggia, Neil Chris and Jeffrey Larson, hereby petition the commissioner to seek a patent under the provisions of 37 CFR 1.47(a) on the grounds that some of the co-inventors refuse to sign an oath or declaration. The petition is accompanied by a fee under 37 C.F.R. 1.17(i) as is required by 37 C.F.R. 1.47(a).

The grounds in support of the petition are set forth in the accompanying declarations of Mr. Jeffrey Larson and Ms. Susan Hincó.

Inventors Michael Tari, Christopher Dias, Darius Gagne and Michiya Handa have, through their conduct, refused to cooperate and execute an oath or declaration. As detailed in the declarations of Ms. Susan Hincó, a copy of the application along with a corresponding declaration was sent by certified mail service to each inventor at their last known residence addresses. The certified mail packages for Mr. Dias and Mr.

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Handa were signed for and delivered. The certified mail package for Mr. Tari and Mr. Gagne were returned unopened. Ms. Hincó subsequently contacted Mr. Tari and Mr. Gagne. Mr. Gagne asked that Ms. Hincó send the documents via regular mail, which she did. Mr. Tari informed Ms. Hincó that he was not available.

CONCLUSION

For the foregoing reasons, it is submitted that the petition to seek a patent under the provisions of 37 CFR 1.47(a) should be granted.

Respectfully submitted,

Date: August 21, 2002



Andrew Strobert

Reg. No.: 35,375

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